

7th Annual Third Party Risk Management & Oversight for Financial Services

Galvanizing a Third Party Risk Framework through Advanced Departmental Collaboration, Technologies, Onsite Audits, Consortiums, Due Diligence, and Overall Cost Reduction

May 16-17, 2018
Millennium Knickerbocker
Chicago, IL

[More Registration Details. Click Here!](#)

Attending This Premier **marcus evans** Conference Will Enable You To:

- **Develop** and **implement** a new third party performance management framework by engaging process engineers and other stakeholders, and authoring SOP and workflow procedures
- **Migrate** from a compliance-based to a risk-based TPRM approach to achieve greater efficiency and threat mitigation
- **Dedicate** resources and personnel to optimize vendor risk management and stakeholder buy-in
- **Address** how Procurement and TPRM work together through shared practices in collaboration, structure, the lines of defense, and responsibilities
- **Embark** on prosperous and compliant working relationships with fintech startups, consortiums, and other business entities
- **Conduct** third party onsite audits through cost effective due diligence
- **Engineer** a sound cyber resilience plan to best manage cybersecurity and protect data
- **Leverage** technologies to improve third party efficiencies and decrease compliance costs
- **Optimize** the data in assurance reports to advance vendor risk assessments
- **Uncover** key takeaways from mid-tier banks on TPRM - framework, selection and monitoring, critical third parties and activities, tools and technology, contracts, compliance, and fourth parties

Who Should Attend:

marcus evans invites C-Level Executives, Risk Officers, Managing Directors, Heads, EVPs, SVPs, VPs, Directors, and Managers from Financial Institutions with

- Third Party Risk Management (TPRM)
- Third Party Analytics & Reporting
- Vendor Management / Vendor Oversight
- Supplier Management
- Contract Management
- Procurement
- Sourcing / Strategic Sourcing
- Internal Audit
- Information Security
- Security / Cybersecurity
- Compliance / Counsel / Governance
- Risk Management (Enterprise, Operational, IT, Corporate)

Bolster the **third party risk ecosystem** through utmost **efficiency** between the **three lines of defense**, in **governance models**, **contract management**, **security**, and **monitoring**

Optimizing data protection and vendor relationships in order to minimize operational drawbacks.



Featuring Case Studies & Interactive Discussions from Third Party Risk Experts:

Melissa Lilli
Executive Director Compliance & Regulatory Management, Vendor Management and Inter-Affiliate Services
JPMorgan Chase

Jessica Klein
Director - Outsourcing & Supplier Risk Management Procurement
BMO Financial Group

Marie France Weiler
VP Corporate Risk
Discover Financial Services

Sarah Tanbakuchi
Vice President, Corporate Procurement, Traditional Third Party Risk Management
M&T Bank

Kenny Cheung
Chief of Procurement
The World Bank Group

Ron Malone
VP, Director, Vendor Management Office
Formerly Federal Home Loan Bank of Indianapolis

Terry Worrell, PMP
Vice President, Corporate Procurement, Third Party Performance Management
BankUnited, N.A.

Rich Zendrosky
Director of Third Party Risk Management
Investors Bank

Ray Shouvik
Senior Vice President,
Head - Technology Vendor Management
Bank of the West

Bruce Mailberg, CRVPM II
Vice President & Risk Director, Third Party Risk Management, Enterprise Business Services
State Street

Tom Traub
SVP, Third Party Reporting & Analytics
Bank of America

Karen Coker
Head of Vendor Risk Management & Contracts Management
University Federal Credit Union

Christopher Copeland
Group Vice President, Chief Procurement Officer
M&T Bank

Dov Goldman
VP, Innovation & Alliances
Opus

Dave Rusher
SVP Product Strategy & Strategic Alliances
Aravo Solutions

Dolly J. Krishnaswamy
Lead Compliance Analyst
SecurityScorecard

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Booking Info:
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7:15 Registration and Morning Coffee

8:15 Chairperson's Opening Address

Co-Chair:

Dov Goldman, VP Innovation & Alliances, **Opus**

**REVOLUTIONIZING THE TPRM FRAMEWORK TO
PROGRESS PEOPLE, PROCESSES AND TECHNOLOGIES**

8:30 Case Study

Developing and Implementing a New Third Party Performance Management Framework by Engaging Process Engineers, Executive Management, Committees, and Authoring SOP and Workflow Procedures

- Showcasing results from the April 2018 OCC audit
- Comparing different sizes and scales of banks to strengthen functions
- Understanding the people, processes, technologies and data
- Molding a TPRM governance model around organizational complexities over a "one size fits all" approach
- Discussing strategies to overcome resource constraints
- Promoting cohesion in between business units and the lines of defense
- Authoring procedures related to SOPs and workflow

Terry Worrell, PMP

Vice President, Corporate Procurement, Third Party Performance Management
BankUnited, N.A.

9:15 Case Study

Migrating from a Compliance-Based to a Risk-Based TPRM Approach to Achieve Greater Efficiency and Threat Mitigation

- Viewing compliance as a bi-product of oversight versus its sole focus
- Identifying vendor risks early to shield the enterprise from potential threats
- Leveraging higher performance from the vendor portfolio through a well-trained and funded TPRM unit
- Enabling better decision making through collaborative and integrated risk management teams

Karen Coker

Head of Vendor Risk Management & Contracts Management
University Federal Credit Union

10:00 Networking Break

10:30 Case Study

Dedicating Resources and Personnel to Optimize Vendor Risk Management Efforts and Stakeholder Buy-In

- Attracting and acquiring vendor risk champions
- Leveraging buy-in from the Board and other key stakeholders to secure the budget and necessary internal resources
- Bolstering the literacy and understanding of TPRM among employees through advanced and routine training

Melissa Lilli

Executive Director Compliance & Regulatory Management, Vendor Management & Inter-Affiliate Services

JPMorgan Chase

11:15 Interactive Discussion

Key Takeaways from Mid-Tier Banks on Third Party Risk Management – Framework, Selection and Monitoring, Critical TPs and Critical Activities, Tools and Technology, Contracts, Compliance, and Fourth Parties

- Showcasing key items reviewed by the Board on a third party framework
- Third party selection and monitoring: Due diligence questionnaires for risk assessment purposes – alternatives such as SOC, SSAE16 reports and ISO27001 certification
- Considering using a shared assessment provided by a third party given the amount of work required to review a vendor
- Requiring an exit strategy for a critical supplier in response to business continuity management
- Workload management – granting any blanket exceptions to specific categories of relationships/activities whereby one is exempt from due diligence that would otherwise be mandatory
- Tools and technology – common types of due diligence and monitoring activities
- Utilizing standard contract and risk control clauses for third party relationships
- The role of Internal Audit in conducting independent reviews of a TPRM program
- Managing and reporting on third party risk incidents and issues
- Identifying, tracking and communicating regulatory and compliance updates/ changes related to TPRM

Facilitator:

Rich Zendrosky

Director of Third Party Risk Management

Investors Bank

12:00 Luncheon

1:00 Case Study

Navigating Today's Changing Third Party Risk Landscape: Adjusting the Course to Stay Ahead

- Why third party information security, data breaches and cyber risk have spun out of control: What steps you can take to address them across your enterprise?
- The roles of questionnaires, evidence and frameworks: How you can both benefit from and move beyond them
- What roles controls play and what management, audit and regulators expect
- Practical takeaways and best practices firms have taken to reduce risk

Dov Goldman

VP, Innovation & Alliances

Opus

OVERCOMING CHALLENGES IN DEPARTMENTAL COLLABORATION, VULNERABILITIES, AND THIRD PARTY AGREEMENTS

1:45 Interactive Panel Discussion

Assessing How Procurement and TPRM Work Together: Shared Practices in Collaboration, Structure, Lines of Defense, and Responsibilities

- Sharing best practices in structure, responsibilities and collaboration
- Streamlining how strategic sourcing and third-party risk interact and work together
- Procurement responsibilities – Who owns third party or is it a separate group?
- Leading cross functional teams toward common goals
- Process improvement strategies for all stages of Procurement and TPRM
- Contract management and leveraging high performance of vendors

Moderator:

Christopher Copeland

Group Vice President, Chief Procurement Officer

M&T Bank

Panelists:

Sarah Tanbakuchi

Vice President, Corporate Procurement, Traditional Third Party Risk Management
M&T Bank

Jessica Klein, Director - Outsourcing & Supplier Risk Management, Procurement
BMO Financial Group

Bruce Mailberg, CRVPM II

Vice President & Risk Director, Third Party Risk Management, Enterprise Business Services

State Street

2:45 Case Study

Applying a Holistic Approach to Third Party Risk Management

- Looking at the guidance - what are the regulators asking?
- What are the expectations of your Board, senior management and LOD?
- Expectation versus reality - why you need technology to be successful
- Creating a consistent, transparent and sustainable third party risk program
- Applying a holistic approach to third party risk
- How technology galvanizes TPRM maturity

Dave Rusher

SVP Product Strategy & Strategic Alliances

Aravo Solutions

3:30 Networking Break

More Registration Details. Click Here!

MARKETING INFO

For more information about the event or information on how to book, please contact:
John Hummel, JohnH@marcusevansch.com, 1 312 894 6327

Day One | Continued

4:00 Case Study

Measuring Hard-to-Quantify Risks

- Solving vulnerabilities by paving the path by reaching out to the critical vendors and stakeholders involved
- Measuring social, reputational, and other hard to quantify risks
- Ensuring the vendors operational practices are aligned with corporate social responsibility policies to avoid potential reputational damage
- Sharing various breach situations beyond just the vendor auditing process

Tom Traub

SVP, Third Party Reporting & Analytics

Bank of America

ADMINISTERING CONSORTIUMS AND NEW AND EXISTING PARTNERSHIPS

4:30 Interactive Discussion

Examining the Rise of Collective Consortiums to Simplify Risk Assessments

- Harnessing the collective expertise of institutions and thought leaders
- Streamlining the risk assessment process for FI's and suppliers alike
- Establishing an industry standard to enable a rigorous and consistent methodology to gathering and validating third party risk information
- Leveraging information stored in a secure, shared platform to make educated vendor risk and engagement decisions

5:00 Closing Remarks of the Chair & End of Day One

WATCH VIDEO TESTIMONIALS

DISCLAIMER

This agenda may be subject to change for reasons outside of our control. Marcus Evans, Inc. reserves the right to replace, substitute, or remove any speaker in the event of an emergency or any unforeseen situation in which a confirmed speaker is unable to attend the event. Marcus Evans, Inc. will make every effort possible to substitute a speaker in this circumstance with an equally qualified professional for the confirmed presentation. However, Marcus Evans, Inc. does not guarantee the possibility of replacement.

Day Two | Thursday, May 17, 2018

7:30 Registration and Morning Coffee

8:05 Chairperson's Opening Address

MASTERING TPRM TECHNOLOGIES WITHIN COMPLIANCE, CLOUD MANAGEMENT, AND CYBER RESILIENCE

8:15 Case Study

Leveraging Technologies to Improve Third Party Efficiencies and Decrease Compliance Costs

- Examining the latest platforms and tools to manage complex supply chains
- Assessing contract management systems and contract automation tools
- Slashing time and cost by adopting new solutions
- Creating a dashboard that provides a holistic view of the entire vendor pool throughout the respective lifecycles
- Strengthening resilience of outsource technology services by utilizing effective testing with service providers

Ray Shouvik

Senior Vice President, Head - Technology Vendor Management

Bank of the West

9:00 Interactive Panel Discussion

Uncovering the Areas and Functions Where Banks Utilize Third Party Service Providers to Meet Compliance Expectations

- Showcasing the areas and functions that firms are employing service providers
- Reviewing and meeting the TPRM requirements through solutions that are being successfully leveraged from service providers for utmost efficiency and compliance
- Discussing cost saving solutions and outcomes

Panelists:

Kenny Cheung

Chief of Procurement

The World Bank Group

Ron Malone

VP, Director, Vendor Management Office

Formerly Federal Home Loan Bank of Indianapolis

9:45 Networking Break

10:15 Case Study

Efficiently and Effectively Interpreting SOC Audit Results to Correctly Understand Third-Party Cybersecurity Posture

You will be provided concrete insights focused on enabling attendees to measurably cut down time spent on periodic third-party risk assessments and will zero in on frequently missed issues in assessing vendors who provide SOC reports as a measure of cybersecurity health.

- Providing an overview on the types of SOC audits, their differences, and how these differences should be factored into the evaluation of a third-party's cybersecurity health
- Outlining a step-by-step approach designed to quickly pinpoint third-party cybersecurity weaknesses based on SOC report, questionnaire responses, and other documentation
- Explaining the limitations of SOC reports in providing an accurate picture of cybersecurity health and how to combat these limitations when evaluating third-party cybersecurity performance

Dolly J. Krishnaswamy

Lead Compliance Analyst

SecurityScorecard

11:00 Case Study

Engineering a Sound Cyber Resilience Plan to Best Manage Cybersecurity and Protect the Data

- Assessing what security is within the TPRM ecosystem
- Information security and cybersecurity – concerns and how to address them
- Inventorying and rating all technology service providers to measure cyber risk exposure
- Collaborating with third parties to ensure rapid remediation of surfaced issues
- Promoting cohesion between IT and risk management units to combat cyber threats
- Uncovering evolving cyber threats to develop potential mitigation strategies
- How to obtain an IT security system that is bullet proof

More Registration Details. Click Here!

INSTALLING THE PROPER GOVERNANCE AND DUE DILIGENCE IN VENDOR CONTRACTS, ONSITE AUDITS, AND DATA MANAGEMENT

11:45 Interactive Discussion

Understanding How Firms Are Managing and Overcoming Contractual Concerns

- Identifying the insurance requirements and strategies to comply
- Avoiding a one-size-fits all contracting approach in favor of agreements tailored to the nature of services and risk involved
- What kind of contract language is required in the contracts to make TPRM requirements viable for the supplier?
- Delegating a balanced risk sharing approach with the third party to bolster risk efforts
- Addressing contractual aspects that should be included based on risk assessments
- Ensuring the necessary clauses and provisions are in place such as “right to audit” and termination rights

Facilitator:

Christopher Copeland
Group Vice President, Chief Procurement Officer

M&T Bank

12:30 Luncheon

1:30 Interactive Panel Discussion

Managing Fourth Party Risk: Approaches, Information Sharing, Due Diligence and Information Security

- Allocating risk and responsibilities to address fourth party oversight and controls
- Mitigating fourth party risk through contractual clauses and provisions
- Utilizing tools such as the SOC report and other risk assessments to reduce subcontractor risk exposure
- Understanding the amount of information to provide about vendors to increase trust in third parties
- Evaluating compliance with contractors and subcontractors – due diligence, reputational risk implications, critical relationships and cyber security
- Where is the concentration risk in fourth parties?
- Addressing the push back for vendors – where do you draw the line for 5th and 6th parties, and how far down do we need to go?

Panelists:

Marie France Weiler
VP Corporate Risk

Discover Financial Services

Ron Malone

VP, Director, Vendor Management Office

Formerly Federal Home Loan Bank of Indianapolis

2:15 Case Study

Reinforcing Procurement Innovation Across the Business and Engaging With Other Functions to Help Find Solutions to Challenges

- Innovating in terms of risk and focusing on minimizing risk while allowing business leaders to focus their attention on other areas
- Moving the conversation away from cost savings and highlighting what the function can do
- Thinking differently and showcasing exactly what the function can do and the value it can add outside of simple cost savings
- Discussing the importance of setting boundaries, and the skills procurement professionals will require in the future
- Understanding how to build a broader purpose into a team’s mission, as well as the design of individual roles within the teams

Kenny Cheung

Chief of Procurement

The World Bank Group

3:00 Networking Break

3:30 Case Study

Conducting Third Party Onsite Audits and Optimizing Assurance Reports to Advance Vendor Risk Assessments and Due Diligence


- Comprehending third party resistance within the onsite process
- Determining if the function or service the vendor provides is critical enough for an onsite audit
- Incorporating the right to perform onsite audit clauses in the contract stage
- Creating and utilizing checklists to enable a thorough and streamlined process
- Identifying the requirements in contracts to make TPRM requirements viable for the supplier
- Utilizing customized and thorough assurance reports to improve data competence and reduce expensive additional due diligence
- Adopting assurance reports that scrutinize vendor cybersecurity programs and controls to enhance information security
- Discussing key changes as well as the pros and cons of reports such as SOC, SIG, and SSAE

4:15 Interactive Discussion

Data Protection and Management: Complying with the Changing Regulatory Landscape

- Analyzing both domestic and foreign regulatory expectations to guide compliance on a global scale
- Understanding GDPR and the changing climate around data protection
- Accounting for geographic and concentration risk when outsourcing offshore
- Retrieving information from a database by conquering approved shared assessments and comparing data at rest versus in the cloud

5:00 Closing Remarks of the Chair & End of the Conference



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This course carries a program level of intermediate requiring a minimum pre-requisite of one year as an active practicing licensee. There is no advance preparation necessary for this Group Live activity and should it be completed in entirety attendees will be eligible for 15 CPE credits in the Management Advisory Services field of study.

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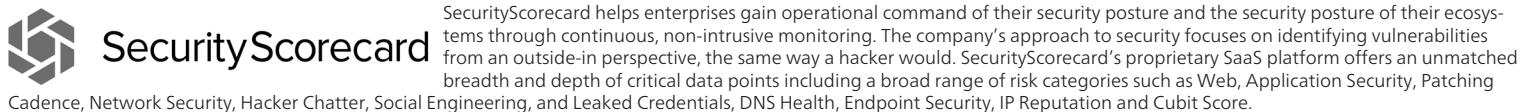
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More Registration Details. Click Here!

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Aravo delivers market-leading SaaS solutions for managing third party risk and compliance at scale.

We help the world's leading brands protect their business value and reputation by managing the risks associated with third parties and suppliers, and to build business value by ensuring that their third party relationships are optimized.

Ask us about Aravo TPRM for Financial Services – designed to help financial institutions accelerate their TPRM programs in line with financial regulatory expectations. This pre-configured solution is mapped to regulatory guidance and helps you advance your TPRM objectives rapidly and cost-effectively.

Aravo was named as a Category Leader with the highest "Completeness of Offering" of any provider in the Chartis RiskTech Quadrant® for Third Party Risk Management Solutions 2017. www.aravo.com

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WHY YOU SHOULD ATTEND:

As financial institutions seek to drive better business results, resources are being focused on core competencies. Firms must develop a well-crafted strategy and exercise ongoing diligence to ensure third party risk is properly executed and in compliance with regulatory requirements.

The **7th Annual Third Party Risk Management & Oversight for Financial Services** Conference will address key topics such as developing and implementing a third party performance management framework, dedicating resources and personnel through stakeholder buy-in, best practices in collaboration between Procurement and TPRM depts, onsite third party audits, performing cost effective due diligence, engineering a sound cyber resilience plan, vulnerabilities in breaches, cloud management, assurance reports, vendor risk assessments, the rise of consortiums, regulatory compliance, cost reduction, and more!

TESTIMONIALS:

"The conference was enjoyable and provided insight information we should all be thinking about in our jobs."

Johnson Bank

"Well done. Thanks for everything, looking forward to next year."

SunTrust Bank

"Nice balance of information for large and small organizations, well organized and well expected conference."

AIG

"Enjoyed the conference...great mix of bankers, bank regulators, and vendors in a workable size."

Federal Reserve Bank of New York

"I've been attending conferences hosted by marcus evans for over 5 years and have never been disappointed by content, quality of delegates or networking opportunities."

BOK Financial

"Very informative and collaborative networking was great!"

Synchrony Financial

"Great audience discussion leading to some good solutions."

Goldman Sachs

"This is my first **marcus evans** conference. I was taken back at not only the knowledge at the podium but that of the attendees as well. Exceptional! I am leaving with pages of usable ideas."

University Federal Credit Union

"Key to this event is that presenters and presentations are coming from people living in the environment, not just purported experts."

Essent Guaranty Inc